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INSTITUTE  
*of* MUSEUM  
*and* LIBRARY  
SERVICES

# 2004 MUSEUMS FOR AMERICA GRANTS

*Grant Application  
and Guidelines*

*Application Deadline:*

**January 15, 2004**

*For information, call*

*IMLS: (202) 606-8539*



## Program at a Glance

Deadline:	January 15, 2004
Matching Requirement:	1:1
Amount of Grant:	\$5,000-\$150,000
Eligibility:	See pages 1.3–1.4
Grant Period:	Up to Three Years Must begin between Oct. 1, 2004–Dec. 31, 2004
Program Contact:	Christine Henry, 202/606-8687, <a href="mailto:chenry@imls.gov">chenry@imls.gov</a> Robert Trio, 202/606-8659, <a href="mailto:rtrio@imls.gov">rtrio@imls.gov</a> Karen Whitehair, 202/606-8549, <a href="mailto:kwhitehair@imls.gov">kwhitehair@imls.gov</a>
Awards Notification:	Mid September 2004

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### PROGRAM DESCRIPTION

Museums for America grants strengthen the ability of museums to serve the public more effectively by supporting high priority activities that advance the institution's mission and strategic goals. The program funds ongoing or new activities and projects to support the role of museums in:

- Sustaining cultural heritage;
- Supporting lifelong learning;
- Serving as centers of community engagement.

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### GRANT AMOUNTS

Grants will be made in three broad funding categories, based on requested funds. Applicants may request funding in one of three funding categories:

Funding Category 1	Requests between \$5,000-\$24,999
Funding Category 2	Requests between \$25,000-\$74,999
Funding Category 3	Requests between \$75,000-\$150,00

Awards will be made across all funding categories, in amounts proportional to applications received.

All federal funds must be matched on a 1:1 basis with non-federal resources. The match may be cash, donated services, staff time or other in-kind donations.

# Museums for America CALL FOR REVIEWERS

All applications to the Museums for America program are competitively evaluated through a peer review process. Peer review is fundamental to decision making by the Institute of Museum and Library Services. The agency relies on the advice and recommendations of members of the field who have expertise in all areas of museum operations, strategic planning, museums and community interaction, and/or lifelong learning in a museum setting. Reviewers provide an important service to the museum field.

IMLS now makes Reviewer Application Forms available on our web site. Information and forms are provided at:

[http://www.ims.gov/grants/review/rev\\_how.htm](http://www.ims.gov/grants/review/rev_how.htm).

Reviewers receive a modest honorarium for their service.

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**PART 1**

**GENERAL  
INFORMATION**

## The Opportunity: What is Museums for America

The central role of the Institute of Museums and Libraries is to create and sustain a nation of learners by advancing the public value of libraries and museums. For a democracy to survive and thrive, we must live in a learning society. This requires a new vision in which learning is seen as a community-wide responsibility supported by both formal and informal educational entities. Libraries and museums play a critical role in connecting the whole of society to culture, science, history and art.

Museums for America is the largest grant program for museums at IMLS, providing more than \$15 million to support the role of museums in American society in:

- Sustaining cultural heritage;
- Supporting lifelong learning;
- Serving as centers of community engagement.

Museums for America grants are intended to strengthen the ability of museums to serve the public more effectively by supporting high priority activities that advance the institution's mission and strategic goals.

FY2004 Museums for America funding will support projects and activities, designed by the institution, that strengthen museums as active resources for lifelong learning and as important institutions in the establishment of livable communities. Museums for America grants can be used for a variety of purposes. They can fund ongoing museum activities; improvement of institutional infrastructure; planning; new programs or activities; purchase of equipment or services; or efforts of museums to upgrade and integrate new technologies into their overall institutional effectiveness.

IMLS will distribute funding for Museums for America grants across all types and sizes of museums, as well as among all funding categories. Applicants may apply in one of three funding categories: \$5,000 - \$24,999; \$25,000 - \$74,999; or \$75,000 - \$150,000. A 1:1 match is required in each category. All applications must demonstrate evidence of institutional strategic planning and relate the proposed project to the institution's plan. Projects should be investments in the organization that will have long term institutional impact, not one-time activities.

## Eligibility Criteria

To be eligible for IMLS museum support, your museum must:

- be organized as a public or private nonprofit institution that exists on a permanent basis for essentially educational or aesthetic purposes; *and*
- care for, and own or use tangible objects, whether animate or inanimate, and exhibit these objects on a regular basis through facilities which it owns or operates; *and*
- have at least one professional staff member or the full-time equivalent, whether paid or unpaid, whose primary responsibility is the acquisition, care or exhibition to the public of objects owned or used by the museum; *and*
- be open and provide museum services to the general public (an institution which exhibits objects to the general public for at least 120 days a year fulfills this requirement); *and*
- be located in one of the fifty States of the Union, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, or the Republic of Palau.

### WHO MAY APPLY

Each museum may submit only one Museums for America application during a given fiscal year. The following are among the types of museums that may apply:

Aquariums	Historic Houses/Sites
Arboretums	Natural History Museums
Art Museums	Nature Centers
Botanical Gardens	Planetariums
Children's/Youth Museums	Science/Technology Centers
General Museums	Specialized Museums
<i>(with two or more significant disciplines)</i>	<i>(limited to a single, distinct subject)</i>
History Museums	Zoological Parks

*Federally operated museums may not apply for Museums for America funds.*

### MUSEUMS WITHIN MULTIPURPOSE ORGANIZATIONS

Museums located within multipurpose public or private nonprofit organizations such as municipalities, universities, historical societies, foundations, and cultural centers may apply for Museums for America funds. To be eligible, a museum located within a multipurpose organization must function as a discrete unit within its parent organization.

In addition, the museum must:

- have at least one full-time professional staff member, or the equivalent, paid or unpaid, whose responsibilities are solely for the museum's services and operations; *and*

- have a fully segregated and itemized operating budget within that of its parent organization; *and*
- be able to separately and distinctly fulfill *all* Museums for America eligibility and application requirements.

Support, auxiliary, or parent organizations that apply on behalf of museums which they own or operate or with which they are affiliated are not eligible to apply for Museums for America funds on their own behalf.

Information presented in the application should be *only* that of the eligible museum.

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**TWO OR  
MORE  
MUSEUMS  
CONTROLLED  
BY THE  
SAME  
PARENT  
ORGANIZATION**

If two or more museums wish to apply that are under the control of one parent multipurpose organization, have shared administrative functions, or have overlapping governing or advisory boards, IMLS requires that *each applicant museum*:

- have an independent governing or advisory body; *and*
- have a separate administrative head with full authority over the museum; *and*
- have a separately developed operating budget within the larger budget of the parent organization; *and*
- be able to fulfill all IMLS eligibility and application requirements.

Prospective applicants that cannot fulfill all of these requirements should contact IMLS to discuss their eligibility before applying. IMLS may require additional supporting documentation from the applicant in order to determine the museum's autonomy. Each eligible applicant within a single parent organization should clearly delineate its own programs and operations in the application narrative.

A parent organization controlling multiple museums that are not autonomous but are otherwise eligible may submit only one Museums for America application, which may be on behalf of one or more of the eligible museums.

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**DATA  
UNIVERSAL  
NUMBERING  
SYSTEM**

**BACKGROUND**

In order to improve the statistical reporting of federal grants and cooperative agreements, the Office of Management and Budget has directed all federal agencies to require all applicants to federal grants to provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number when applying for federal grants or cooperative agreements on or after October 1, 2003. The DUNS number will be required whether an applicant is submitting a paper application or using the government-wide electronic portal (E-Grants).

Use of the DUNS number government-wide will provide a cost-effective means to identify entities receiving those awards and their business relationships. The

identifier will be used for tracking purposes, and to validate address and point of contact information. The DUNS number already is in use by the federal government generally to identify entities receiving federal contracts and by some agencies in their grant and cooperative agreement processes. Among existing numbering systems, the DUNS is the only one that provides the federal government the ability to determine hierarchical and family-tree data for related organizations.

**WHAT YOU NEED TO DO**

Organizations should verify that they have a DUNS number or take the steps needed to obtain one as soon as possible if there is a possibility that they will be applying for federal grants or cooperative agreements on or after October 1, 2003. Organizations can receive a DUNS number at no cost by calling the dedicated toll-free DUNS Number request line at 1-866-705-5711 or by visiting <http://www.dnb.com/us/>. Individuals who would personally receive a grant or cooperative agreement award from the federal government apart from any business or non-profit organization they may operate, and foreign entities are exempt from this requirement.

If your organization does not have a DUNS number, you may not be able to apply for federal grants or cooperative agreements after October 1, 2003.

## Eligible Grant Activities

Museums for America grants will provide an opportunity for institutions to build their effectiveness in meeting their missions and furthering their strategic plans. Museums will be able to use Museums for America funds to serve their public more effectively, by improving their operations both behind the scenes and publicly, through:

- Collections management and conservation;
- Community engagement;
- Education;
- Exhibition;
- Visitor experience, including public programs and membership services;
- Research;
- Staff training;
- Strategic plan enhancement and planning activities;
- Other museum activities.

Applicants should define how the funding relates to their institution's strategic goals in the critical area of public service.

IMLS sees Museums for America grants as investment grants, and expects that for recipient institutions the funding will provide:

- Money that will make a difference over time;
- Investment in capacity, not a one-time program;
- Activities related to institutional strategic planning;
- Support to measure outcomes.

Types of grant activities funded may include:

- migration of card-based collections management tools to an electronic collections management system;
- bringing a traveling exhibit to the museum, and creating education and outreach programs supporting the exhibit for the museum's audience;
- cataloguing collections so they are more accessible for exhibition, interpretation, and research (may include hiring personnel and purchasing computer software);
- digitization of collections;
- continuation of an existing program in the museum to support widened access, inclusion and diversity;
- working with schools to develop curricula and/or programs;
- improvement of existing or development of new exhibitions to enhance educational services;
- research on collections to assist in the ongoing interpretation of the collection and/or development of museum programs.

Grant activities are expected to have quantifiable and measurable outcomes, and grantees will be expected to evaluate the success of the project against the established outcomes. Grantees will submit assessment plans to IMLS for approval within eight weeks after the award is made. IMLS will work with grantees to create these assessment plans. *Information about outcome-based evaluation can be found on the IMLS web site ([http://www.imls.gov/grants/current/crnt\\_obc.htm](http://www.imls.gov/grants/current/crnt_obc.htm)) or may be requested from IMLS.*

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**ELIGIBLE  
COSTS**

Eligible expenses include:

- \_ Staffing
- \_ Costs related to planning and maintenance of project partnerships
- \_ Purchase of equipment, materials, supplies, or services
- \_ Staff training
- \_ Program development and implementation
- \_ Exhibition design and fabrication
- \_ Integration of technology into exhibition or educational programs
- \_ Costs associated with evaluation of grant programs or activities

## Non-Eligible Costs

- Contributions to endowment funds
- Acquisition of objects for the collection
- Costs of social activities, ceremonies, and other entertainment
- Pre-award costs (costs incurred prior to the effective date of the grant)
- Construction and Renovation of museum facility. Exhibit construction can be an allowable cost.

Applicable government-wide cost principles are listed in Section 1180.10(a) of published IMLS Regulations, available upon request.

## Matching Funds

IMLS will provide up to one-half the cost of the project. Your match may consist of:

- cash contributions
- earned income
- equipment
- in-kind contributions
- materials and supplies

You may *not* use federal funds as your match. In-kind contributions (such as staff time, donated services, supplies, and space) may be used as a match if you can document the donations and if the donations relate specifically to your Museums for America project.

## Application Review and Evaluation

IMLS staff reviews all submissions to determine whether an applicant is eligible and whether an application is complete. IMLS staff may contact applicants for information needed to make an eligibility determination. If an applicant is determined to be ineligible as an official applicant, the application will be rejected without evaluation. Incomplete applications are subject to rejection without evaluation. An applicant will be notified by mail if the institution's application is rejected.

All eligible and complete Museums for America applications are peer reviewed under a competitive process using field review and/or sitting panels. Reviewers and panelists are drawn from professionals in the field with relevant areas of expertise in the types of activities and institutions identified in the application.

Field reviewers provide an initial evaluation applying the criteria identified on pages 2.2 -2.3 ("Evaluation Criteria"). For this evaluation, applications are grouped into field review panels based on 1) the three grant categories (sustaining cultural heritage; supporting lifelong learning; or serving as centers of community engagement); 2) the request amount; and 3) institutional budget size. IMLS staff determines panel breakdown based on applications received.

Sitting panels of museum professionals review top ranked applications (based on standardized field review scores) for: 1) the ability of the project to further the institution's mission and strategic plan; 2) the relationship between the institution's proposal and IMLS's Museums for America program goals; and 3) the strength and feasibility of the project design. The IMLS Director takes into account the advice provided by the review process and, by law, makes all final funding decisions.



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**PART 2**

**COMPLETING  
THE  
APPLICATION  
NARRATIVE**

## Application Evaluation Criteria

A well-designed proposal narrative is thorough and succinct while addressing all the following evaluation criteria. These criteria must be addressed in the order presented, and must be labeled with number and/or section title to guide reviewers in their evaluation. The narrative criteria are designed to create a proposal that begins with the broadest ideas, and progresses to the details.

As stated in “Preparing your Application” (page 3.3) the application narrative must be no more than seven pages, must address the Evaluation Criteria in the order presented here, with each response numbered, and must:

- be on 8.5 by 11 inch paper
- have a margin of at least .5 inch on all sides
- be printed in a font with no more than six lines per vertical inch and standard spacing between letters. Condensed fonts are not acceptable.
- have page numbers on each page, front and back if double-sided pages are used.

### NARRATIVE QUESTIONS

#### 1. PROJECT-DESIGN

Describe the project and its overall goals.

**Review Criteria:** Extent to which the project proposes efficient, effective, and successful approaches to accomplish clear goals and objectives. If technology purchase is requested, extent to which it will support the project or activity goals, and further the institution’s strategic plan. If partnerships are supported by the grant, evidence that all partners are active contributors to and beneficiaries of the partnership activities.

#### 2. GRANT PROGRAM GOALS

Describe which of the three goals of Museums for America the project addresses

- To sustain cultural heritage;
- To support lifelong learning;
- To serve as centers of community engagement

and how your proposal fits into that category.

**Review Criteria:** Degree to which the project or program addresses the programmatic strategic goal the institution has identified on the face sheet as its chosen category.

#### 3. PROJECT-HOW THE PROJECT FITS INTO STRATEGIC PLAN AND MISSION

Describe how your proposal relates to your mission statement and strategic plan (two page summary is a required part of the application). Describe how the project will serve as an investment in institutional capacity.

**Review Criteria:** Evidence that the project or activities fit into and further the institution’s strategic plan and mission. Extent to which the project is of sufficient scope to effect systemic change within the organization and/or expand institutional capacity to carry out the above strategic goals.

**4. STRATEGIC PLAN-PROCESS AND FINANCIAL RESOURCES**

Describe briefly how the institution arrived at its strategic plan, including the planning process and the participants in that process. Describe how the institution's financial resources support its strategic plan and the long term stability of the museum.

**Review Criteria:** Evidence that the museum's strategic (institutional, long range, master) plan had community, board, and staff involvement, and supports the goals and needs of the both the museum and its community. Evidence that the planning activities of the museum also ensure the long term financial stability of the museum (please note: a required attachment is financial statement for the applicant's two previous fiscal years prior to application.)

**5. PROJECT-APPROPRIATENESS FOR INSTITUTION, AUDIENCE**

Describe who the intended audience is for this proposal, and how the project will serve this audience. Briefly describe your area's demographics and how this intended audience fits within the institutional strategic plan.

**Review Criteria:** Evidence that the project designers have identified an audience, performed a formal or informal assessment of their needs, and have designed this project as the best solution to answer those needs.

**6. PROJECT-RESOURCE: TIME & BUDGET**

Describe the specifics of the time allotted for major activities, and how these activities fit within the overall activities of the museum. Discuss the budget allocated to accomplishing the proposed activities.

**Review Criteria:** Evidence that the project activities will be effectively completed, that the applicant institution is capable of carrying out the project to its successful conclusion through the deployment and management of resources including money, facilities, equipment, and supplies. Appropriateness and cost efficiency of budget to complete project activities.

**7. PROJECT-RESOURCES: PERSONNEL & TECHNOLOGY**

Describe personnel who will accomplish the proposal goals. Briefly describe their qualifications, and how they will be able to accomplish the necessary tasks for the project, especially if they are current museum staff with other duties. If hiring new personnel, describe the position in detail and the qualifications of appropriate candidates. If the project includes digitization of museum collections, complete "Specifications for Projects Involving Digitization."

**Review Criteria:** Evidence that the project personnel are qualified to accomplish project goals and activities. Extent to which personnel commit adequate time to manage and implement the project activities. Extent to which personnel demonstrate appropriate experience and expertise in the specific area the project addresses. If project includes digitization, evidence that appropriate procedures are followed.

## Guidance for Digitization Projects

### INFORMATION TO INCLUDE IN PROPOSAL

In the proposal narrative, describe the subject matter and its significance, including relationships to related collections. Explain how the material was or will be selected for digitization. Describe the additional value that digitization will bring to the materials, such as enabling innovative new uses or attracting new audiences. Describe how potential users will discover the collection. The application also includes a form, *Specifications for Projects Involving Digitization* (see p. 5.8), which must be completed and submitted with the application. Funded digitization projects are expected to report their projects to a national level registry of digital resources and/or national bibliographic utility, as appropriate.

### INTEROPERABILITY

Digitization projects should follow existing standards and best practices where applicable and should be interoperable with other collections.

### DIGITIZATION PLANS

Applicants for digitization projects are strongly encouraged to develop a digitization plan before writing the grant application, and to include a copy of the plan as an appendix to the application. Sample digitization plans are provided on the following web sites:

- <http://coloradodigital.coalliance.org/project.html> – The Colorado Digitization Project.
- <http://www.nedcc.org/dighand.htm> – The Northeast Document Conservation Center's *Handbook for Digital Projects: A Management Tool for Preservation and Access*.

### RESOURCES FOR DIGITIZATION PROJECTS

IMLS has published *A Framework of Guidance for Building Good Digital Collections* as a resource for applicants planning digitization projects. Available at <http://www.imls.gov/pubs/forumframework.htm>, this document contains links to many web sites with useful information for planning and implementing digitization projects. Some additional sites are:

- [http://www.imls.gov/grants/library/lib\\_nlg.asp](http://www.imls.gov/grants/library/lib_nlg.asp) (scroll to bottom of page) – The IMLS Web site provides examples of funded digitization projects.
- <http://memory.loc.gov/ammem/ftpfiles.html> – The Library of Congress' American Memory Project has useful technical information for digitization projects.
- <http://coloradodigital.coalliance.org/toolbox.html> – The Colorado Digitization Project's Web site has a page devoted to Digital Project Resources that includes information about copyright, metadata, digitization standards and administrative concerns.
- <http://www.clir.org/diglib/publications.htm> – The Digital Library Federation has publications on a range of topics, including digital image management and preservation.
- <http://www.rlg.org/preserv/diginews/> – The Research Libraries Group's *DigiNews*, a bimonthly web-based newsletter.
- <http://www.umuc.edu/distance/odell/cip> – Center for Intellectual Property and Copyright in the Digital Environment by the Office of Distance Education and Lifelong Learning at University of Maryland University College
- <http://www.iupui.edu/~copyinfo> – Copyright Management Center (CMC) Indiana University-Purdue University Indianapolis
- <http://www.dlib.org> – D-Lib Magazine has many articles on preservation of digital materials.

*Note: IMLS offers this list as a resource to assist you in planning a digitization project; the list is neither exhaustive nor an endorsement of any particular publication or web site.*

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**PART 3**

**PREPARING  
AND  
SENDING  
THE  
APPLICATION**

## Preparing Your Application

### FORMAT

All application materials **must**:

- be on 8.5 by 11 inch paper
- have a margin of at least .5 inch on all sides
- be printed in a font with no more than six lines per vertical inch and standard spacing between letters. Condensed fonts are not acceptable.
- have page numbers on each page, front and back if double-sided pages are used.

An application requesting Museums for America Grant support should include the following materials organized in the order listed. Following this list is a description and reference pages for each piece of the application.

1. Face Sheet
2. Statement of Purpose/Mission Statement and History (not to exceed 1 page)
3. Institutional Plan Summary (not to exceed 2 pages)
4. Institutional Financial Statements
5. Narrative (not to exceed 7 pages); each question is numbered and labeled
6. Schedule of Completion
7. Project Budget (Detailed, Summary, and Budget Justification)
8. Current, Federally Negotiated Rate for Indirect Costs, if applicable
9. Partnership Statement, if applicable
10. Proof of Non-Profit Status, if applicable
11. List of key project staff and consultants
12. Resume(s) for key project personnel (not to exceed 2 pages per person)
13. Attachments. Please see page 3.5 for more information
14. Grants Processing Information Sheet (included on pages 5.3-5.4)
15. Signed Assurances Form (included on page 5.10)

### FACE SHEET

The Face Sheet is the form which summarizes all the museum contact information, and other useful data that:

- located on 5.3-5.4 of the Application Forms section of this document. Use or replicate this form.
- also available in a fill-in format on our web site.
- must include completed information on both pages and a signature from your authorizing official
- must include the paragraph summary of your project
- must include a Data Universal Numbering System (question 11). For more information on the DUNS Number, please see page 1.7.

### STATEMENT OF PURPOSE/ MISSION STATEMENT AND HISTORY

The Statement of Purpose and History page includes a mission statement and brief background history for the reviewers that:

- **must note the source, approving body and date of the official document where it appears**
- uses the remaining space available on the page to include a brief history of the museum.
- must be maximum length one page, 8.5 x 11 inch single spaced
- must accurately portray your museum's purpose or mission
- may be quoted from or summarized to convey the essential points of the statement, if the statement is too long to be quoted in full.

## STRATEGIC PLAN SUMMARY

A museum's Strategic Plan, sometimes called an institutional, long-range, or master plan summary:

- should explain the key components of the current plan; methods used to develop the plan, such as institutional self-study or assessment; how the plan is evaluated and updated; and the roles of trustees, staff, consultants, members of the community or others in developing the plan
- should also discuss the institution's success in meeting goals in the plan
- is used by reviewers to evaluate how your grant proposal project or activities further your strategic plan.

## INSTITUTIONAL FINANCIAL STATEMENTS

Institutional Financial Statements are a snapshot of the museum's financial health that:

- must include a copy of your museum's financial statements for your past two complete fiscal years.
- can be in the form of internal balance sheets, audit summary pages or federal tax returns
- **do not** include copies of full audits in this section (may be included in attachments section if desired)
- if your museum is part of a larger organization (municipal government, university, etc.) please provide financial statements **only** for the museum
- are included to help reviewers determine financial stability of institution and give overall picture of institution

## NARRATIVE

The Narrative is your project description text section that:

- is no more than seven (7) single-spaced, one-sided pages in length
- must identify grant activities, addressing the Application Evaluation Criteria listed on pages 2.2–2.3.
- must have each narrative question labeled and numbered.
- answers each question in the order listed on pages 2.2–2.3
- must be legible so that reviewers can easily read the information you provide. IMLS recommends that you produce the Narrative using a word processing system. *Handwritten applications will not be accepted.*
- should explain what need the grant activities will meet and should provide sufficient information for reviewers to evaluate all criteria
- does not include detailed budget discussions. These should be included in Budget Justification section (see page 3.4).

## SCHEDULE OF COMPLETION

A schedule of completion is a graph or list that:

- shows when each major project activity will be completed; project activities may not begin before October 1, 2004.
- should correspond to the activities described in the Narrative
- when showing an ongoing project or program, differentiates between IMLS funded portions and portions funded before or after the IMLS project begins
- is shown as a sample on page 5.8; The applicant need not follow the sample format but should provide the same information, indicating milestones for completion of each major project activity.

---

**PROJECT  
BUDGET**

The Project Budget is made up of three elements:

1. Detailed Budget (forms located on pages 5.5-5.6)
2. Summary Budget (forms located on pages 5.7-5.8)
3. Budget Justification

The Project Budget should include costs to be supported by IMLS funds, applicant and third party matching and cost sharing, and any costs to be supported by other federal agencies. Only those costs attributable to achieving specific project activities should be included in the budget. *Refer to requirements for Cost Sharing under Conditions of a Grant (page 4.2) in preparing the budget.*

**1. DETAILED BUDGET**

The Detailed Budget is a set of forms that:

- should be completed for each year (12 month period) of project activities. For example, year one may be October 1, 2004 through September 30, 2005.
- should be duplicated, one set for each year of your project
- should include cost categories identified in the sample budget layout and should identify whether support is requested from IMLS or is contributed by the applicant or third party
- lists items, whether supported by grant funds or cost-sharing contributions, that must be reasonable, necessary to accomplish project objectives, allowable in terms of the applicable federal cost principles, auditable, and *incurred during the grant period*
- should clearly and specifically identify sources of contributions
- for third party contributions, must indicate whether the contributions are assured or pending
- should identify consultant fees costs by hourly rates or daily fees.
- Method of cost computation is the type of calculation that you are using to show the fees; this could be estimate, hourly, yearly wage etc.
- *is available as an electronic fill-in form on the IMLS Web site (see page 3.6).*

**2. SUMMARY BUDGET**

Summary Budget is a form that:

- shows full project costs in each category for all years
- should clearly identify the amount requested from IMLS, the amount provided by the applicant, by any partners and from any other sources for cost sharing and matching (both cash and in-kind support).
- *is available as an electronic fill-in form on the IMLS Web site (see page 3.6).*

**3. BUDGET JUSTIFICATION**

Budget Justification is a text section that:

- should explain all elements of the Detailed Budget, for example, the Budget Justification should explain the role that each person listed in the project budget will play.
- should also provide justification for all proposed equipment, supplies, travel, services and other expenses; specifications for all hardware and software for which IMLS funding is requested should be provided.
- if IMLS funding is requested for salaries of permanent staff, the proposal should explain why funds are requested for this purpose and how the regular duties of these individuals will be performed during the grant period.



- should explain the role of any outside consultants and third-party vendors to be employed on the project and how each was identified and selected. Costs for third party service providers should be documented by bids or otherwise justified.
- Limited to 2 pages, single spaced

---

#### **PROOF OF NON- PROFIT STATUS**

If your organization is a private, non-profit organization (if you answered “Private Non-Profit” or “Other” on Line 20 of the Face Sheet):

- you must submit a copy of the IRS letter indicating your organization’s eligibility for non-profit status under the applicable provisions of the Internal Revenue Code of 1954, as amended.
- IMLS will *not* accept a letter of state sales tax exemption as proof of non-profit status.

---

#### **LIST OF KEY PROJECT STAFF AND CONSULTANTS**

A one page list of all key museum staff and consultants for the project is required

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#### **RESUMES**

Resumes or vitae for each person listed on the “List of Key Project Staff” are *required*:

- must include resumes of both museum staff and consultants
- limited to two pages *each* for all key personnel
- if staff is to be hired with grant funds, then include one page position description of the type of person to be hired for the project

---

#### **ATTACHMENTS**

- Applications should include documents that specifically relate to the justification for the project
- IMLS strongly encourages inclusion of needs assessments, reports from planning activities, products or evaluations from previously completed or ongoing projects of a similar nature or other documents for the evaluation of the proposal.
- Total attachments are limited to 20 (single or double sided) pages

---

#### **GRANT PROCESSING INFORMATION SHEET**

- Form provided on page 5.9
- All questions must be answered
- This sheet is used in part by staff to determine eligibility.

---

#### **SIGNED ASSURANCES**

- Form provided on page 5.12
- Complete this section last, after completing the rest of the application
- Contains all the applicable federal regulations that will need to be complied with if the grant is awarded
- Certifies that the information in the application is correct
- applicant’s Authorizing Official must read the assurances and sign the accompanying certification statement
- Authorizing Official may be the organization’s chief executive officer, an official of the organization or its parent or sponsoring organization authorized to make such commitments on behalf of the organization, or the government official responsible for oversight of the organization
- application is not complete unless it has been signed by the Authorizing Official

## Electronic Fill-In Application Forms

IMLS now makes all application forms available on our Web site in PDF (Portable Document File) format for download. Applicants can download the electronic version of an IMLS application form and, using freely available software, type into the forms on any computer. This eliminates the need for a typewriter or for re-creation of IMLS application forms. Note that the forms cannot be submitted electronically but can be completed online and then printed on the applicant's printer and submitted. **Caution:** the forms cannot be saved, so they must be completely filled in and printed in one operation. To access the fill-in application forms, visit <http://www.imls.gov/grants/appl/index.htm>. Alternatively, applicants may recreate the forms electronically following the IMLS format or may type on printed forms.

## How To Assemble the Application Package

Review your application package carefully before sending it to us. You must include *all* of the required items listed below and the proper number of copies. *Your application is subject to rejection without review if any required item is missing.* If you have any questions, contact IMLS at (202) 606-8539.

### ASSEMBLE YOUR APPLICATION PACKAGE AS FOLLOWS

#### STEP 1: MAKE TWO PHOTOCOPIES OF YOUR FACE SHEET IN ADDITION TO YOUR ORIGINAL.

Extra  
Face Sheet  
(copy 1)

Extra  
Face Sheet  
(copy 2)

#### STEP 2: COLLATE ONE ORIGINAL (COMPLETE) COPY OF YOUR APPLICATION AS FOLLOWS:

Face Sheet  
with Signature

Statement of  
Purpose/  
Institutional  
History

Strategic Plan  
Summary

Institutional  
Financial  
Statements

Narrative

Schedule  
of  
Completion

Detailed  
Budget by Year

Summary  
Budget

Budget  
Justification

Other  
Required Docs,  
if applicable  
(see items 8–10,  
p. 3.2)

List of Key  
Project  
Personnel

Resume(s)  
(2 pages  
per person)

Attachments  
(see p. 3.5)

Grants  
Processing  
Information  
Sheet

Signed  
Assurances  
Form

**TURN PAGE FOR FURTHER INSTRUCTIONS**

**STEP 3: MAKE TEN (10) IDENTICAL SETS OF THE MATERIAL YOU ASSEMBLED IN STEP 2.**

**STEP 4: COLLATE YOUR PILES FROM STEP 1-3 AS FOLLOWS:**

Extra  
Face Sheets  
(2 Copies)

**STEP 1**

Original  
Application

**STEP 2**

Ten (10)  
copies of the  
application

**STEP 3**

**YOUR MATERIALS ARE NOW READY TO SEND TO IMLS.**

*Note: IMLS will not do your photocopying or collating!*

## Sending the Application to IMLS

Ship or hand-deliver Museums for America applications to:

### **Museums for America Grants**

Office of Museum Services  
Institute of Museum and Library Services  
1100 Pennsylvania Avenue, NW, Suite 609  
Washington, DC 20506

**postmarked by January 15**

### **SHIPPING**

Shipping an application to IMLS:

- **Please consider using commercial delivery services. Applications do not need to be sent overnight, ground service is acceptable.**
- All of the first-class and Priority mail sent to IMLS is put through an irradiation process, which results in lengthy delays in mail delivery.
- Due to the length and number of copies required for complete submission, applications cannot be accepted by fax or e-mail.
- Support materials (e.g. CDs, videos, slides) put through the irradiation process are suffering irrevocable damage. If you are sending these kinds of materials, we encourage you to consider using alternate delivery services.
- **All applications must be postmarked no later than the application deadline.** Applications that do not meet the postmark deadline will be rejected without evaluation.
- If one must use the U.S. Postal Service, IMLS recommends certified or registered mail.
- In the event that a deadline falls on a day U.S. Post Offices are closed, such as Sundays and federal holidays, IMLS will accept proposals postmarked the next business day.

### **HAND DELIVERY**

IMLS accepts hand-delivered applications between 9:00 a.m. and 4:30 p.m. (Eastern Time) daily, except Saturday, Sunday, and federal holidays. IMLS will provide a dated receipt at the time of delivery.

### **IMLS ACKNOWLEDGEMENT**

- Within 30 working days after the application deadline, IMLS will mail applicants an acknowledgment form with an application log number. If this form is not received, contact IMLS to make sure the application was received.
- If an application is received more than 30 working days after the postmark deadline, it may not be sent out for review, and may be rejected.

### **PROOF OF SHIPPING**

IMLS may ask for proof of shipping if the postmark date on the package cannot be read.

- The U. S. Postal Service does not always postmark a package when it receives one. Ask to have the package dated, then verify that it is properly date stamped.
- IMLS will accept a legible receipt stamped by the U.S. Postal Service or a legible dated shipping label, invoice, or receipt from a commercial carrier.
- IMLS will not accept private metered postmarks or private mail receipts unless they contain a legible date stamped by the U. S. Postal Service.
- If using registered mail, the green return receipt card does not meet the IMLS requirement for proof of shipping.



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**PART 4**  
**CONDITIONS**  
**OF A**  
**GRANT**

## Conditions of a Grant

Notification of awards will be made in mid-September, 2004. Generally, project activities supported by Museums for America Grants may be carried out for a period of up to 36 months. Projects may begin no earlier than October 1, 2004, and no later than December 31, 2004.

### PROJECT ASSESSMENT PLAN

Grant activities are expected to have quantifiable and measurable outcomes, and grantees will be expected to evaluate the success of the project against the established outcomes.

- Grantees will submit assessment plans to IMLS for approval within eight weeks after the award is made.
- IMLS will work with grantees to create these assessment plans. *Information about outcome-based evaluation can be found on the IMLS Web site ([http://www.imls.gov/grants/current/crnt\\_obe.htm](http://www.imls.gov/grants/current/crnt_obe.htm)) or may be requested from IMLS.*

### AMOUNT OF GRANT

Museums for America Grants:

- Range from \$5,000 to \$150,000 for total request.
- IMLS will review and negotiate budgets as necessary.
- Applicants may be granted an amount less than that requested.

### COST SHARING

Projects costs must be matched 1:1 by the applicant:

- Applicants *must* provide at least one-half of the total cost of the project from non-federal sources.
- The match may consist of cash, contributions, earned income, equipment, in-kind contributions, staff time, and materials and supplies.
- All listed expenses, including all cost sharing, must be incurred during the grant period.
- All revenues generated with project funds during the grant period must be reported as program income and should be applied to the grant recipient's cost sharing.
- All listed expenses must be incurred during the grant period. The grant period begins anytime from October 1, 2004 to December 31, 2004 and is determined by the applicant at time of application (see schedule of completion page 3.3)
- Government-wide uniform administrative rules and requirements, and cost principles apply.

### PAYMENT, ACCOUNTING, AND REPORTING PROCEDURES

A federal accounting office handles the payment of Museums for America Grants.

- Grant recipients may request cash advances or reimbursements as needed during the project period.
- Payments are made electronically.
- IMLS requires grant recipients to maintain a restricted account for funds received during the project period. They do not need to maintain a separate bank account for IMLS grant funds; however, they must establish and maintain a separate accounting category within an internal accounting system to show that the funds have been used for project costs only. This restricted accounting record must be adequate to satisfy normal auditing procedures.



- Grants are subject to the provisions of Office of Management and Budget audit requirements, circular A-133 <http://www.whitehouse.gov/omb/circulars/a133/a133.html>.
- Grant recipients are required to submit one or more interim performance reports on a bi-annual basis; they are required to submit a final performance report and a final financial report.

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**COPYRIGHT/  
WORKS  
PRODUCTS**

- IMLS requires acknowledgement of IMLS assistance in all publications and other products resulting from the project.
- Products should be distributed free or at cost unless the recipient has received written approval for another arrangement.
  - The recipient may copyright, with written permission, any work that is subject to copyright and was developed, or for which ownership was purchased, under an award.
  - IMLS reserves, for federal government purposes, a royalty-free, non-exclusive, and irrevocable license to reproduce, publish, or otherwise use the work and authorize others to reproduce, publish, or otherwise use the work.
  - IMLS requires that awardees provide three copies of any products produced with IMLS funds to IMLS with the final reports.

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**ANNOUNCEMENT  
OF AWARD**

No information about the status of an application will be released until all applications have been reviewed and all negotiations are concluded. IMLS will notify applicants of final decisions by mid-September, 2004.



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**PART 5**  
**APPLICATION**  
**FORMS**

## Application Checklist

Use this checklist to help you arrange the sections of the application in the correct order.

- ☐ Face Sheet with signature
- ☐ Statement of Purpose/Mission Statement and History (not to exceed 1 page)
- ☐ Strategic Plan Summary (not to exceed 2 pages)
- ☐ Institutional Financial Statements
- ☐ Narrative (not to exceed 7 pages)
- ☐ Schedule of Completion
- ☐ Project Budget Forms
  - ☐ Detailed Budget
  - ☐ Summary Budget
  - ☐ Budget Justification
- ☐ Current, Federally Negotiated Rate for Indirect Costs, if applicable
- ☐ Proof of Non-profit status, if applicable
- ☐ List of key project staff and consultants
- ☐ Resume(s) for key project personnel (not to exceed 2 pages per person)
- ☐ Attachments (not to exceed 20 pages)
- ☐ Grants Processing Information Sheet
- ☐ Signed Assurances Form

# Face Sheet

OMB No. 3137-0048

08/31/2005

CFDA No. 45.301

1. Applicant Organization \_\_\_\_\_

2. Institutional Mailing Address \_\_\_\_\_

3. City \_\_\_\_\_

4. State \_\_\_\_\_

5. Zip Code \_\_\_\_\_

6. Web Address \_\_\_\_\_

7. DUNS Number \_\_\_\_\_

8. Name or Title of Project Director ☐ Mr. ☐ Ms. ☐ Dr. \_\_\_\_\_

9. Business Phone of Project Director \_\_\_\_\_

10. Project Director Mailing Address \_\_\_\_\_

11. City \_\_\_\_\_

12. State \_\_\_\_\_

13. Zip Code \_\_\_\_\_

14. Fax Number of Project Director \_\_\_\_\_

15. E-mail Address of Project Director \_\_\_\_\_

16. Name and Title of Authorizing Official \_\_\_\_\_

17. Business Phone of Authorizing Official \_\_\_\_\_

18. Sponsoring institution if applicable (e.g., municipality, state, or university)

☐ check if this entity will manage funds if an award is made. Name and address: \_\_\_\_\_19. Is the applicant organization university controlled? ☐ yes ☐ no20. Governing control of applicant ☐ State ☐ Municipal ☐ County ☐ Private Non-Profit  
☐ Tribal Government ☐ Other, please specify \_\_\_\_\_21. Type of organization (*check one*)☐ Aquarium☐ Nature Center☐ Arboretum/Botanical Garden☐ Natural History museum☐ Art museum☐ Planetarium☐ Children's/youth museum☐ Science/technology museum☐ General museum\*☐ Zoo☐ Historic house/site☐ Specialized\*\*☐ History museum☐ Other \_\_\_\_\_

\* A museum with collections representing two or more disciplines equally (e.g., art and history).

\*\* A museum with collections limited to one narrowly defined discipline (e.g., textiles, stamps, maritime, ethnic group).

22. Museum's attendance for the 12-month period prior to the application.

Onsite \_\_\_\_\_ Offsite \_\_\_\_\_ Electronic \_\_\_\_\_

23. Total number of hours the museum was open to the public for the 12-month period prior to application. \_\_\_\_\_

24. Year the Museum was first open and exhibiting to the public. \_\_\_\_\_

25. Number of full-time paid museum staff \_\_\_\_\_ 26. Number of part-time paid museum staff \_\_\_\_\_

27. Number of full-time unpaid museum staff \_\_\_\_\_ 28. Number of part-time unpaid museum staff \_\_\_\_\_

29. Museum's non-federal operating income for the most recently completed fiscal year.

Year \_\_\_\_\_ \$ \_\_\_\_\_ .00

30. Museum's non-federal operating income for the second most recently completed fiscal year.

Year \_\_\_\_\_ \$ \_\_\_\_\_ .00

31. Amount Requested \$ \_\_\_\_\_

32. Amount of Matching Funds \$ \_\_\_\_\_

33. Grant Period (Starting Date) \_\_\_\_/\_\_\_\_/\_\_\_\_ — \_\_\_\_/\_\_\_\_/\_\_\_\_ (Ending Date)  
(must begin between 10/1/04 -12/31/04)

34. Please check project type category (**check only one category**)

☐ Sustaining Cultural Heritage

☐ Supporting Lifelong Learning

☐ Serving as Centers of Community Engagement

35. Project Title \_\_\_\_\_

36. In the space below, summarize the project activities.

37. Certification: \_\_\_\_\_

Signature of Authorizing Official

\_\_\_\_\_ Date

# Project Budget Form

## SECTION 1: DETAILED BUDGET

Year ☐ 1 ☐ 2 ☐ 3 – Budget Period from \_\_\_\_ / \_\_\_\_ / \_\_\_\_ to \_\_\_\_ / \_\_\_\_ / \_\_\_\_

Name of Applicant Organization \_\_\_\_\_

IMPORTANT! READ INSTRUCTIONS ON PAGES 3.3–3.4 BEFORE PROCEEDING.

### SALARIES AND WAGES (PERMANENT STAFF)

NAME/TITLE	No.	METHOD OF COST COMPUTATION	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	( )	_____	_____	_____	_____	_____
_____	( )	_____	_____	_____	_____	_____
_____	( )	_____	_____	_____	_____	_____
_____	( )	_____	_____	_____	_____	_____
<b>TOTAL SALARIES AND WAGES \$</b>			_____	_____	_____	_____

### SALARIES AND WAGES (TEMPORARY STAFF HIRED FOR PROJECT)

NAME/TITLE	No.	METHOD OF COST COMPUTATION	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	( )	_____	_____	_____	_____	_____
_____	( )	_____	_____	_____	_____	_____
_____	( )	_____	_____	_____	_____	_____
_____	( )	_____	_____	_____	_____	_____
<b>TOTAL SALARIES AND WAGES \$</b>			_____	_____	_____	_____

### FRINGE BENEFITS

RATE		SALARY BASE	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	% of \$	_____	_____	_____	_____	_____
_____	% of \$	_____	_____	_____	_____	_____
_____	% of \$	_____	_____	_____	_____	_____
<b>TOTAL FRINGE BENEFITS \$</b>			_____	_____	_____	_____

### CONSULTANT FEES

NAME/TYPE OF CONSULTANT	RATE OF COMPENSATION (DAILY OR HOURLY)	No. OF DAYS (OR HOURS) ON PROJECT	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
<b>TOTAL CONSULTANT FEES \$</b>			_____	_____	_____	_____

### TRAVEL

FROM/TO	NUMBER OF: PERSONS DAYS	SUBSISTENCE COSTS	TRANSPORTATION COSTS	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	( ) ( )	_____	_____	_____	_____	_____	_____
_____	( ) ( )	_____	_____	_____	_____	_____	_____
_____	( ) ( )	_____	_____	_____	_____	_____	_____
_____	( ) ( )	_____	_____	_____	_____	_____	_____
<b>TOTAL TRAVEL COSTS \$</b>				_____	_____	_____	_____

# Project Budget Form

## SECTION 1: DETAILED BUDGET CONTINUED

Year ☐ 1 ☐ 2 ☐ 3

### MATERIALS, SUPPLIES AND EQUIPMENT

ITEM	METHOD OF COST COMPUTATION	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
<b>TOTAL COST OF MATERIALS, SUPPLIES, &amp; EQUIPMENT \$</b>		_____	_____	_____	_____

### SERVICES

ITEM	METHOD OF COST COMPUTATION	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
<b>TOTAL SERVICES COSTS \$</b>		_____	_____	_____	_____

### OTHER

ITEM	METHOD OF COST COMPUTATION	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
<b>TOTAL OTHER COSTS \$</b>		_____	_____	_____	_____

<b>TOTAL DIRECT PROJECT COSTS \$</b>	_____	_____	_____	_____
--------------------------------------	-------	-------	-------	-------

### INDIRECT COSTS

Check either item A or B and complete C. (See section on Indirect Costs, page 3.4.)

Applicant organization is using:

- ☐ A. An indirect cost rate which does not exceed 20% of modified total direct costs.  
☐ B. Federally Negotiated Indirect Cost Rate (see page 3.4).

\_\_\_\_\_  
Name of Federal Agency

\_\_\_\_\_  
Expiration Date of Agreement

C.	Rate base(s)	Amount(s)		
_____	% of \$	_____	=	\$ _____
_____	% of \$	_____	=	\$ _____
_____	% of \$	_____	=	\$ _____

	IMLS	APPLICANT	PARTNER(S) IF APPLICABLE	TOTAL
<b>TOTAL INDIRECT COSTS CHARGED TO \$</b>	_____	_____	_____	_____



# Project Budget Form

## SECTION 2: SUMMARY BUDGET

Name of Applicant Organization \_\_\_\_\_

IMPORTANT! READ INSTRUCTIONS ON PAGES 3.3–3.4 BEFORE PROCEEDING.

### DIRECT COSTS

	IMLS	Applicant	Partner(s) (if applicable)	Total
SALARIES & WAGES	_____	_____	_____	_____
FRINGE BENEFITS	_____	_____	_____	_____
CONSULTANT FEES	_____	_____	_____	_____
TRAVEL	_____	_____	_____	_____
MATERIALS, SUPPLIES & EQUIPMENT	_____	_____	_____	_____
SERVICES	_____	_____	_____	_____
OTHER	_____	_____	_____	_____
<b>TOTAL DIRECT COSTS</b>	<b>\$ _____</b>	<b>\$ _____</b>	<b>\$ _____</b>	<b>\$ _____</b>
<b>INDIRECT COSTS</b>	<b>\$ _____</b>	<b>\$ _____</b>	<b>\$ _____</b>	<b>\$ _____</b>

**TOTAL PROJECT COSTS** \$ \_\_\_\_\_

**AMOUNT OF CASH-MATCH** \$ \_\_\_\_\_ \$ \_\_\_\_\_

**AMOUNT OF IN-KIND CONTRIBUTIONS** \$ \_\_\_\_\_ \$ \_\_\_\_\_

**TOTAL AMOUNT OF MATCH (CASH & IN-KIND CONTRIBUTIONS)** \$ \_\_\_\_\_

**AMOUNT REQUESTED FROM IMLS, INCLUDING INDIRECT COSTS** \$ \_\_\_\_\_

**PERCENTAGE OF TOTAL PROJECT COSTS REQUESTED FROM IMLS** \_\_\_\_\_ %  
(MAY NOT EXCEED 50%)

Have you received or requested funds for any of these project activities from another federal agency?  
(Please check one) ☐ Yes ☐ No

If yes, name of agency \_\_\_\_\_

Request/Award amount \_\_\_\_\_

## Specifications for Projects Involving Digitization

1. Describe types and conditions of materials to be digitized (i.e., artifacts, maps, manuscripts, photographs, audio recordings, video recordings, motion pictures) and number of each:

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2. Identify copyright issues and other potential restrictions:

☐ Public domain ☐ Permissions have been obtained

☐ Permissions to be requested - Plan to address: \_\_\_\_\_

☐ Privacy concerns - Plan to address: \_\_\_\_\_

\_\_\_\_\_

☐ Other - Explain: \_\_\_\_\_

\_\_\_\_\_

3. List the equipment, with specifications, whether purchased, leased, or outsourced, that will be used (e.g., camera, scanner, server): \_\_\_\_\_

---

---

4. Specify each type of file format (e.g., TIFF, JPEG) to be produced and anticipated image quality of each (minimum resolution, depth, tone, pixels) :

☐ Master \_\_\_\_\_

☐ Access \_\_\_\_\_

☐ Thumbnail \_\_\_\_\_

☐ Formats for other media (e.g., audio, video, motion picture), include sampling rates, if applicable \_\_\_\_\_

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5. Describe the quality control plan: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
6. Estimate cost per image. Include costs such as scanning, quality control and indexing. Indicate the basis for calculation: \_\_\_\_\_  
\_\_\_\_\_
7. Explain how you will describe the content through metadata, including which standard you will use (e.g., MARC, EAD, Dublin Core): \_\_\_\_\_  
\_\_\_\_\_
8. Describe plans for preservation and maintenance of the digital files after the expiration of the grant period (i.e., storage systems, migration plans, and funding): \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
9. If you are producing collection-level records, describe plans for submitting collection-level descriptive records to a bibliographic utility, such as Research Libraries Information Network (RLIN) or Online Computer Library Center (OCLC). State reasons for selecting any alternative approaches:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
10. Describe plans for submitting information about the project to a national level registry of digital resources, such as the Association of Research Libraries' Digital Initiatives Database (<http://www.arl.org/did/>) or OCLC's Cooperative Online Resource Catalog (<http://www.oclc.org/corc>). State reasons for selecting any alternative approaches:  
\_\_\_\_\_  
\_\_\_\_\_
11. Provide URL(s) for applicant's previously-digitized collections: \_\_\_\_\_  
\_\_\_\_\_

This sample Schedule of Completion provides sample project activities and a sample timeline for each activity. You need not follow the sample format but should provide the same project information. List each major project activity discussed in the Narrative. The dates on your Schedule of Completion must correspond with the project dates on the Face Sheet (page 5.4).

Task	Start Month	End Month
Data Requirements	Oct.	Nov.
Design and Pre-test	Nov.	Apr.
Conduct Survey	Jan.	Mar.
Data Analysis	Jan.	Aug.
Web Site	Mar.	June
Teleconference	Mar.	July
Training Institute	Apr.	Aug.
Evaluation	Feb.	Aug.
Conferences	July	Aug.
Training Institute	June	Sept.
Final Report Dissemination	Aug.	Sept.

## Grant Processing Information Sheet

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**ELIGIBILITY  
REQUIREMENTS****ALL IMLS LEARNING OPPORTUNITIES GRANT APPLICANTS  
MUST ANSWER THE FOLLOWING QUESTIONS.**

Check the appropriate answer.

1. Is the museum organized as a public or private nonprofit institution that exists on a permanent basis for essentially educational or aesthetic purposes?

☐ Yes

☐ No

2. Does the museum care for, and own or use tangible objects, whether animate or inanimate?

☐ Yes

☐ No

3. Are these objects exhibited to the public on a regular basis through facilities the museum owns or operates?

☐ Yes

☐ No

4. Is the museum open and exhibiting to the public at least 120 days a year?

☐ Yes

☐ No

5. Does the museum have at least one full-time paid or unpaid staff member or the equivalent, whose primary duty is the care, acquisition, or exhibition to the public of objects owned or used by the museum?

☐ Yes

☐ No

## IMLS Assurances

*The IMLS is required to obtain from all applicants certifications regarding federal debt status, debarment and suspension, non-discrimination, and a drug-free workplace. Applicants requesting more than \$100,000 in grant funds must also certify regarding lobbying activities and may be required to submit a "Disclosure of Lobbying Activities" (Standard Form LLL). Some applicants will be required to certify that they will comply with other federal statutes that pertain to their particular situation. These requirements are incorporated in the Assurances Statement below. Review the Statement and sign the certification form. If you receive a grant, you must comply with these requirements.*

### CERTIFICATION OF AUTHORIZING OFFICIAL

*(The applicant organization's authorizing official should sign the following certification after all other parts of the application form have been completed)*

I have examined this application, and I hereby certify on behalf of the applicant organization that

- 1) the information provided is true and correct; *and*
- 2) all requirements for a complete 2004 IMLS application have been fulfilled; *and*
- 3) the applicant is providing and will comply with the applicable certifications regarding federal debt status, debarment and suspension, nondiscrimination, drug-free workplace, and lobbying activities as set forth in the Assurances statement below.

Should my organization receive a grant, the organization and I will comply with all requirements of the IMLS Grants Regulations (45 CFR Part 1180 et seq.), all statutes outlined below, and all other applicable federal statutes and regulations.

\_\_\_\_\_  
Signature of Authorizing Official

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name and Title of Authorizing Official (printed or typed)

*IMLS Regulations are available upon request.*

### ASSURANCES STATEMENT

By signing the application form, the authorizing official, on behalf of the applicant, assures and certifies that, should a grant be awarded, it will comply with the statutes outlined below and all related IMLS regulations. These assurances are given in connection with any and all financial assistance from IMLS after the date this form is signed, but may include payments after this date for financial assistance approved prior to this date. These assurances shall obligate the applicant for the period during which the federal financial assistance is extended. The applicant recognizes and agrees that any such assistance will be extended in reliance on the representations and agreements made in these assurances, and that the United States government has the right to seek judicial enforcement of these assurances, which are binding on the applicant, its successors, transferees, and assignees, and on the authorized official whose signature appears on the application form.

**I. CERTIFICATIONS REQUIRED OF ALL APPLICANTS****FINANCIAL,  
ADMINISTRATIVE,  
AND LEGAL  
ACCOUNTABILITY**

The authorizing official, on behalf of the applicant, certifies that the applicant has legal authority to apply for federal assistance and the institutional, managerial, and financial capability (including funds sufficient to pay the non-federal share of project costs) to ensure proper planning, management, and completion of the project described in this application.

The authorizing official, on behalf of the applicant, certifies that the applicant will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. § 7501 et seq.) and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

The authorizing official, on behalf of the applicant, certifies that the applicant will comply with the provisions of OMB Circular No. A-110, "Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations."

**FEDERAL  
DEBT STATUS**

The authorizing official, on behalf of the applicant, certifies to the best of his or her knowledge and belief that the applicant is not delinquent in the repayment of any federal debt.

**DEBARMENT  
AND  
SUSPENSION**

The authorizing official, on behalf of the applicant, certifies to the best of his or her knowledge and belief that the applicant and its principals:

- (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency;
- (b) have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction, or in connection with a violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and
- (d) have not within a three-year period preceding this application/proposal had one or more public transactions (federal, state or local) terminated for cause or default.

**NON-  
DISCRIMINATION**

The authorizing official, on behalf of the applicant, certifies that the applicant will comply with the following nondiscrimination statutes and their implementing regulations:

- (a) Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. § 2000 et seq.), which prohibits discrimination on the basis of race, color, or national origin;
- (b) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 et seq.), which prohibits discrimination on the basis of disability;

**DRUG-FREE  
WORKPLACE  
ACT OF  
1988**

- (c) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-83, 1685-86), which prohibits discrimination on the basis of sex in education programs; and
  - (d) the Age Discrimination in Employment Act of 1975, as amended (42 U.S.C. § 6101 et seq.), which prohibits discrimination on the basis of age.
- (A) The authorizing official, on behalf of the applicant, certifies that the applicant will or will continue to provide a drug-free workplace by:
- (a) publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the action that will be taken against employees for violation of such prohibition;
  - (b) establishing an ongoing drug-free awareness program to inform employees about:
    - (1) the dangers of drug abuse in the workplace;
    - (2) the grantee's policy of maintaining a drug-free workplace;
    - (3) any available drug counseling, rehabilitation, and employee assistance programs; and
    - (4) the penalties that may be imposed on employees for drug abuse violations occurring in the workplace;
  - (c) making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
  - (d) notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will
    - (1) abide by the terms of the statement; and
    - (2) notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace not later than five calendar days after such conviction;
  - (e) notifying the agency in writing within ten (10) calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the federal agency has designated a central point for the receipt of such notices. Notices shall include the identification number(s) of each affected grant;
  - (f) taking one of the following actions within thirty (30) days of receiving notice under subparagraph (d)(2) with respect to any employee who is so convicted:
    - (1) taking appropriate personnel action against such an employee, up to and including termination consistent with the requirements of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 et seq.); or
    - (2) requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law or other appropriate agency; and
  - (g) making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).
- (B) The applicant shall either identify the site(s) for the performance of work done in connection with the project in the application material or shall keep this information on file in its office so that it is available for federal inspection. The street address, city, county, state, and zip code should be provided whenever possible.



**CERTIFICATION  
REGARDING  
LOBBYING  
ACTIVITIES  
(APPLIES  
TO  
APPLICANTS  
REQUESTING  
FUNDS IN  
EXCESS OF  
\$100,000)**

- The authorizing official certifies, to the best of his or her knowledge and belief that:
- (a) no federal appropriated funds have been paid or will be paid, by or on behalf of the authorizing official, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of a federal contract, the making of a federal grant, the making of a federal loan, the entering into of a cooperative agreement, or the extension, continuation, renewal, amendment, or modification of a federal contract, grant, loan, or cooperative agreement.
  - (b) if any funds other than appropriated federal funds have been paid or will be paid to any person (other than a regularly employed officer or employee of the applicant) for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan or cooperative agreement, the authorizing official shall request, complete, and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
  - (c) the authorizing official shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

**GENERAL  
CERTIFICATION**

The authorizing official, on behalf of the applicant, certifies that it will comply with all applicable requirements of all other federal laws, executive orders, regulations, and policies governing the program.

**II. CERTIFICATIONS REQUIRED OF SOME APPLICANTS**

The following certifications are required if applicable to the project for which an application is being submitted. Applicants should be aware that additional federal certifications, not listed below, might apply to a particular project.

**SUBAGREEMENTS**

Applicants who plan to use awards to fund subgrants, contracts and subcontracts should be aware that they must receive the following certifications from applicants to grant programs and those who bid on contracts:

- (1) certification of compliance with the nondiscrimination statutes from institutional applicants and contractors, and
- (2) certification regarding debarment and suspension from applicants to grant programs (regardless of the amount requested) and from potential contractors and subcontractors who will receive \$100,000 or more in grant funds. Applicants are also required to include without modification the following wording in solicitations for all grant proposals and for contracts that are expected to equal or exceed \$100,000:
  - (a) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.
  - (b) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

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**NATIVE  
AMERICAN  
HUMAN  
REMAINS  
AND  
ASSOCIATED  
FUNERARY  
OBJECTS**

The authorizing official, on behalf of the applicant, certifies that the applicant will comply with the provisions of the Native American Graves Protection and Repatriation Act of 1990 (25 U.S.C. § 3001 et seq.), which applies to any organization that controls or possesses Native American human remains and associated funerary objects, and which receives federal funding, even for a purpose unrelated to the Act.

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**HISTORIC  
PROPERTIES**

The authorizing official, on behalf of the applicant, certifies that the applicant will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. § 470f), Executive Order (E.O.) 11593, and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. § 469 et seq.).

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**ENVIRONMENTAL  
PROTECTIONS**

The authorizing official, on behalf of the applicant, certifies that the project will comply with environmental standards, including the following:

- (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969, as amended (42 U.S.C. § 4321 et seq.) and Executive Order (E.O.) 11514;
- (b) notification of violating facilities pursuant to Executive Order (E.O.) 11738;
- (c) protection of wetlands pursuant to Executive Order (E.O.) 11990, as amended by Executive Order (E.O.) 12608;
- (d) evaluation of flood hazards in floodplains in accordance with Executive Order (E.O.) 11988, as amended.
- (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972, as amended (16 U.S.C. § 1451 et seq.); and
- (f) conformity of federal actions to State (Clean Air) Implementation Plans under section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.);
- (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (42 U.S.C. § 300f et seq.); and
- (h) protection of endangered species under the Endangered Species Act of 1973, as amended (16 U.S.C. §§ 1531-1543).

The authorizing official, on behalf of the applicant, certifies that the project will comply with the Wild and Scenic Rivers Act of 1968, as amended (16 U.S.C. §1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

The authorizing official, on behalf of the applicant, certifies that the applicant will comply with the flood insurance requirements of the Flood Disaster Protection Act of 1973, as amended (42 U.S.C. § 4001 et seq.), which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.

The authorizing official, on behalf of the applicant, certifies that the project will

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**RESEARCH  
ON HUMAN  
AND  
ANIMAL  
SUBJECTS**

comply with 45 C.F.R. Part 46 regarding the protection of human subjects involved in research, development and related activities supported by this award of assistance.

The authorizing official, on behalf of the applicant, certifies that the project will comply with the Laboratory Animal Welfare Act of 1966, as amended (7 U.S.C. § 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

*For further information on these certifications, contact IMLS at 1100 Pennsylvania Avenue, NW, Room 609, Washington, DC 20506 or call (202) 606-8539.*





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